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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/519,165	03/06/2000	David W. Sherrer	ACT-111	8879

7590 01/13/2004
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EXAMINER

WATKINS III, WILLIAM P

ART UNIT	PAPER NUMBER
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1772

DATE MAILED: 01/13/2004

29

Please find below and/or attached an Office communication concerning this application or proceeding.

A229

Office Action Summary

Application No.

09/519,165

Applicant(s)

SHERRER ET AL.

Examiner

William P. Watkins III

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 03 November 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-30 is/are pending in the application.
- 4a) Of the above claim(s) 1-12 is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 13-30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. §§ 119 and 120

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
* See the attached detailed Office action for a list of the certified copies not received.
- 13) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.
a) ☐ The translation of the foreign language provisional application has been received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ 6) ☐ Other: _____

DETAILED ACTION

1. The 112 new matter rejection is withdrawn in view of applicant's arguments in the paper filed 03 November 2003.

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3. Claims 13-30 are rejected under 35 U.S.C. 102(b) as being anticipated by Ayliffe et al. (U.S. 5,522,000).

See the Figure. Element 16a is a pad, which takes solder in a bumping process to secure an electrical component. Element 10 is a silicon layer, with a dielectric layer (element 14), which may be silica, on top of the silicon substrate, with pads 16b on top of the dielectric layer. The space between pads 16b and 16a forms a "U" shape. A groove is etched between pads 16b to hold an optical element (element 18). The edges of pads 16b, the dielectric layer, and the silicon substrate layer are aligned and form the sidewalls of the groove. Regarding claim

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30, element 16a has a region for connection to a laser device and a bottom portion for further electrical connection.

4. Claim 30 is rejected under 35 U.S.C. 102(b) as being anticipated by Pedder (GB 2 215 087 A).

See Figures 3 and 4, which show a groove with aligned metal and dielectric sidewalls and separate metal pads that could be used for electrical connection and optical-electric connection. The regions for receiving a device and electrical connection in claim 30 are taken as intended uses and the structure of the applied reference has to be only capable of the function and not teach the actual connections.

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

6. Claims 13-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ayliffe et al. (U.S. 5,522,000).

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In the event that the disclosure mentioned in the above rejection is not deemed an anticipation, it is the position of the examiner that the instant invention would have been obvious to one of ordinary skill in the art in view of the above mentioned disclosure. Variation in the exact shapes of the pads and etched grooves is taken to have been within the ordinary skill of the art depending on the shape of the optical and electrical elements to be secured to the substrate.

7. Applicant's arguments with respect to claims 13-30, filed 03 November 2003, have been considered but are not deemed persuasive.

Applicant argues that the dielectric layer of Ayliffe et al. (element 14) is not planar because one of ordinary skill in the art would know that the method used to form the layer would not result in a planar surface. The examiner takes this, as being only "attorney argument" not supported by any actual evidence of the ordinary skill of the art. The examiner continues to maintain that the common meaning of planar is flat. The top exposed surface of element 14 in the Figure of Ayliffe et al. appears to be flat or planar and thus meets applicant's new "planar" language. New claim 30 is addressed in the above

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rejections. The office action is non-final in view of the

Interview Summary mailed 17 November 2003.

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to William P. Watkins III whose telephone number is 571-272-1503. The examiner works an increased flex time schedule, but can normally be reached Monday through Friday, 11:30 A.M. through 8:00 P.M. Eastern Time. The examiner returns all calls within one business day unless an extended absence is noted on his voice mail greeting.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Harold Pyon can be reached on 571-272-1498. The fax phone numbers for the organization where this application or proceeding is assigned are 703-872-9310 for regular communications and 703-872-9311 for After Final communications.



WW/ww

January 9, 2004

**WILLIAM P. WATKINS III
PRIMARY EXAMINER**